

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

50395-098

U.S. APPLIC. NO. (if known, see 37 CFR 1.5)

09/807,932

INTERNATIONAL APPLICATION NO.

PCT/JP99/04294

INTERNATIONAL FILING DATE

AUGUST 6, 1999

PRIORITY DATE CLAIMED

OCTOBER 21, 1998

TITLE OF INVENTION

EQUIPMENT AND METHOD FOR MANUFACTURING A SOOT PREFORM

APPLICANT(S) FOR DO/EO/US

KANTA YAGI, SUMIO HOSHIMO, AND WATARU KIKUCHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendment has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information.
Please note that the Early Serial Number Postcard was 09/807,371. The Notification of Missing Requirements, however, indicates 09/807,372.



20277

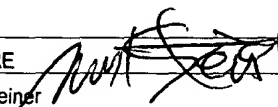
PATENT TRADEMARK OFFICE

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| | | | | | |
|--|--------------|---|------------|--|--------------|
| U.S. APPLIC. NO. (if known, see 37 CFR 1.53) 09/807,372 | | INTERNATIONAL APPLICATION NO. PCT/JP99/04294 | | ATTORNEY'S DOCKET NUMBER 50395-098 | |
| | | | | CALCULATIONS | PTO USE ONLY |
| 17. <input type="checkbox"/> The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO \$860.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) \$690.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$710.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$1,000.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | | |
| Claims | Number Filed | Number Extra | Rate | RECEIVED AUG 14 2001 TECHNICAL SERVICES | |
| Total Claims | -20 = | | x \$18.00 | | |
| Independent Claims | -3 = | | x \$80.00 | | |
| Multiple dependent claim(s) (if applicable) | | | + \$270.00 | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | | |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28). | | | | | |
| SUBTOTAL = | | | | | |
| Processing fee of \$130.00 for furnishing the English translation later than the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | | |
| TOTAL NATIONAL FEE = | | | | | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property. | | | | | |
| TOTAL FEES ENCLOSED = | | | | | |
| | | | | Amount to be: refunded | \$ |
| | | | | charged | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>500417</u> in the amount of \$ <u>40.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>500417</u> . A duplicate copy of this sheet is enclosed. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: Arthur J. Steiner McDERMOTT, WILL & EMERY 600 13 th Street, N.W. Washington, DC 20005-3096 (202) 756-8000 Facsimile (202) 756-8087 | | | | | |
| | | | | SIGNATURE  | |
| | | | | NAME Arthur J. Steiner | |
| | | | | No. 26,106 | |
| | | | | REGISTRATION NUMBER July 16, 2001 | |
| | | | | DATE | |

*A Partnership Including
Professional Corporations*
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MCDERMOTT, WILL & EMERY

F A C S I M I L E

FROM:

Attorney: Lorna Mullenax Direct Phone: 202-756-8513
Attorney's E-Mail: lmullenax@mwe.com
Secretary: _____ Direct Phone: _____
Client/Matter/Tkpr: 50395-098- Date: March 11, 2002 Time Sent: _____
Number of pages including this page: 7

TO:

Name: Shakeel Ahmed Facsimile No. 703-305-3230
Company: USPTO - PCT Division Contact No. 703-305-3659

Re: U.S. Patent Application Serial No. 09/807,372 - YAGI et al

Dear Mr. Ahmed:

In accordance with our phone conversation, enclosed are copies of the Response to Notification of Missing Requirements and attachments filed in the above referenced application. Also enclosed is a copy of the stamped PTO postcard acknowledgement evidencing these documents were submitted on July 16, 2001. If anything further is needed, please contact us immediately.

The official Filing Receipt is awaited.

The information contained in this facsimile message is legally privileged and confidential information intended only for the use of the individual or entity named above. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, or copy of this facsimile is strictly prohibited. If you have received this facsimile in error, please notify us immediately by telephone and return the original message to us at the above address via the United States Postal Service. Thank you.

Applicant: Kanta YAGI, et al. Docket No. 50395-098

Title/Mark: EQUIPMENT AND METHOD FOR MANUFACTURING A SOOT Serial/Reg./Patent No. 09/807,372
PREFORM

Date Sent: July 16, 2001 ☒ Hand Carried ☐ Fax ☐ Electronic ☐ Cert. of Mailing ☐ Express Mail No. _____

☐ Transmittal Letter

New Patent App ☐ Utility ☐ Design ☐ Cont. ☐ CIP ☐ Div. ☐ PCT ☐ CPA ☐ RCE ☐ Prov

☐ Other: _____

☐ Trademark/Service Mark/Intent-To-Use Application

☐ Amendment to Allege Use ☐ Statement of Use

☐ Formal/Informal/Substitute Drawing Sheet

_____ (no. of) Substitute/Specimens

☐ Continued Use Affidavit/Declaration (Section 8 & 15)

☐ Notice of Opposition/Answer to _____

☐ Ex Parte Appeal

☐ Petition for Cancellation/Answer To _____

☐ Renewal of Reg. No.

☒ Combined Declaration/Power of Attorney

☐ Letter of Protest

☐ Request for _____ day/month Extension of Time

☐ Request for Non-Publication

_____ pages of Specification

_____ pages of Claims

_____ pages of Abstract

_____ pages of Formal/Informal Drawings

☐ Information Disclosure Statement

_____ Form PTO 1449

_____ copies of cited references

☐ Preliminary Amendment

☐ Response to Missing Parts Notice

☐ Certified Copy of Priority Doc

☐ Claim for Convention Priority

☐ Verified Statement of Small Entity Status

☐ Transmittal of Issue Fee: Form PTO 85b _____

☐ Maintenance Fee for _____ years after grant

☐ Notice of Appeal ☐ Appeal Brief

☐ Recordation of _____ Patent _____ Trademark:

☐ Response/Amendment to Office Action of _____

Assignments/Security Agreements/

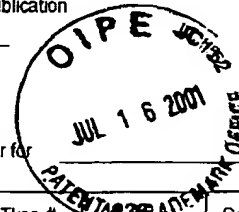
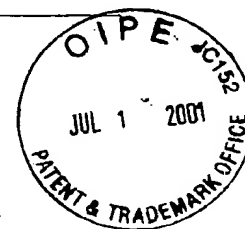
☐ Petition to Commissioner for _____

☒ Other **Response To Notification Of Missing Requirements**

| | | | | | | | | |
|--------------|--|---|------------|-----|---------|-------|-------------------|-----|
| Check for \$ | <input checked="" type="checkbox"/> Charge Deposit Acct. 500417 \$ | 0 | Atty Init. | AJS | Tkpr. # | 14238 | Secy. or PL Init. | ykg |
|--------------|--|---|------------|-----|---------|-------|-------------------|-----|

CMS Descrip.: _____

THE PATENT AND TRADEMARK OFFICE DATE STAMPED HEREON IS ACKNOWLEDGEMENT THAT THE ITEMS, CHECKED ABOVE, WERE RECEIVED BY THE PTO ON THE DATE STAMPED.



*** RX REPORT ***

RECEPTION OK

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| TX/RX NO | 5784 | |
| CONNECTION TEL | | 804 553 1931 |
| SUBADDRESS | | |
| CONNECTION ID | M W & E | |
| ST. TIME | 03/11 15:40 | |
| USAGE T | 07'07 | |
| PGS. | 7 | |
| RESULT | OK | |

*** TX REPORT ***

TRANSMISSION OK

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|----------------|-------------|-------------|
| TX/RX NO | 3947 | |
| CONNECTION TEL | | 92027568087 |
| SUBADDRESS | | |
| CONNECTION ID | | |
| ST. TIME | 03/11 11:29 | |
| USAGE T | 00'52 | |
| PGS. SENT | 2 | |
| RESULT | OK | |



PCT OPERATIONS

FACSIMILE TRANSMISSION COVER SHEET

DATE: 11 MAR 2002

TO: Lorna

REF# 50395 - 098

TELEPHONE: (202) 756-8000

FAX NO.: (202) 756-8087

FROM: Shakeel Ahmed

TELEPHONE: 703-305-3659
FAX NO.: 703-308-4785 OR 703-305-3230